

FORM PTO-1390  
(REV 10-94)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

10873.887USWO

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

filed herewith 10/070288

INTERNATIONAL APPLICATION NO.

PCT/JP01/05822

INTERNATIONAL FILING DATE

December 5, 2001

PRIORITY DATE CLAIMED

July 5, 2000

TITLE OF INVENTION

OPTICAL ELEMENT, SEMICONDUCTOR DEVICE, AND OPTICAL INFORMATION RECORDING DEVICE EMPLOYING  
THE SAME

APPLICANT(S) FOR DO/EO/US

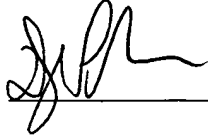
Nakanishi et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ~~☒ have been transmitted by the International Bureau.~~
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☒ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment; Mark-up copy showing the changes made.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: PCT request and its English translation; Form PCT/IB/301; Form PCT/IB/304; Form PCT/IB/308; Form PCT/IB/346

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) filed herewith <b>10/070288</b>		INTERNATIONAL APPLICATION NO. PCT/JP01/05822		ATP'S DOCKET NUMBER 10875.887USWO	
17. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):</b> Search Report has been prepared by the EPO or JPO.....\$890.00  International preliminary examination fee paid to USPTO (37 CFR 1.492(a)(1)).....\$710.00  No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$740.00  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(3)) paid to USPTO ..... \$1040.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) .....\$100.00				<b>CALCULATIONS      PTO USE ONLY</b>	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$890.00</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	20                      -20 =	0	X \$18.00	\$0.00	
Independent claims	3                                -3 =	0	X \$80.00	\$0.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$0.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$890.00</b>	
Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27				\$0.00	
<b>SUBTOTAL =</b>				<b>\$890.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+ \$0.00	
<b>TOTAL NATIONAL FEE =</b>				<b>\$890.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+ \$40.00	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$930.00</b>	
				Amount to be: refunded	\$0.00
				charged	\$930.00
a. <input checked="" type="checkbox"/> Check(s) in the amount of <u>\$890.00 and \$40.00</u> to cover the above fees is enclosed.  b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.  c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-2725</u> .					
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>					
SEND ALL CORRESPONDENCE TO: Douglas P. Mueller MERCHANT & GOULD P.O. Box 2903 Minneapolis, MN 55402-0903			SIGNATURE:  NAME: Douglas P. Mueller REGISTRATION NUMBER: 30,300		

10/070288

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Nakanishi et al.

JC05 Rec'd PTO

28 FEB 2002

Docket: 10873.887USWO

Title: OPTICAL ELEMENT, SEMICONDUCTOR DEVICE, AND OPTICAL INFORMATION  
RECORDING DEVICE EMPLOYING THE SAME

## CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EL669944329US

Date of Deposit: February 28, 2002

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

By: 

Name: Chris Stordahl

## BOX PATENT APPLICATION

Commissioner for Patents

Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application: Spec. 13 pgs; 20 claims; Abstract 1 pgs.  
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☒ 9 sheets of formal drawings
- ☒ A signed Combined Declaration and Power of Attorney
- ☒ Assignment of the invention to Matsushita Electric Industrial Co., Ltd, Recordation Form Cover Sheet
- ☒ A check in the amount of \$890.00 to cover the Filing Fee
- ☒ A check for \$40.00 to cover the Assignment Recording Fee.
- ☒ Application Data Sheet, 5 pages.
- ☒ Other: Preliminary Amendment; Mark-up copy showing the changes made; PCT request and its English translation; Translation of Article 19 Amendment; Form PCT/IB/301; Form PCT/IB/304; Form PCT/IB/308; Form PCT/IB/346
- ☒ Return postcard

## CLAIMS AS FILED

Number of Claims Filed		In Excess of:		Number Extra		Rate		Fee
<b>Basic Filing Fee</b>								\$890.00
<b>Total Claims</b>								
20	-	20	=	0	x	18.00	=	\$0.00
<b>Independent Claims</b>								
3	-	3	=	0	x	84.00	=	\$0.00
MULTIPLE DEPENDENT CLAIM FEE								\$0.00
TOTAL FILING FEE								\$890.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT &amp; GOULD P.C.

P.O. Box 2903, Minneapolis, MN 55402-0903  
(612) 332-5300By: 

Name: Douglas P. Mueller

Reg. No.: 30,300

Initials: D. Mueller:hb



(PTO TRANSMITTAL - NEW FILING)